

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) : ISHII, et al.  
Int'l Appln. No. : PCT/JP01/01692  
Int'l Filing Date : March 5, 2001  
Title of Invention : INVESTMENT SYSTEM AND DATA  
TRANSMITTING/RECEIVING METHOD

#3


745 Fifth Avenue  
New York, NY 10151

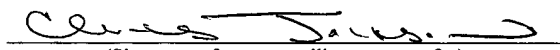
**EXPRESS MAIL**

Mailing Label Number: EV 001419519 US

Date of Deposit: November 15, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents Washington, DC 20231.

  
(Typed or printed name of person mailing paper or fee)

  
(Signature of person mailing paper or fee)

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed are copies of the publications which were cited in the International Search Report of International Application No. PCT/JP01/01692, and other documents. Also enclosed is a copy of Form PTO-1449 and the International Search Report.

REMARKS

Entry of this Information Disclosure Statement and an early examination on the merits are respectfully solicited.

Please charge any additional fees to Deposit Account No. 50-0320.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP

By:



William S. Frommer  
Reg. No. 25,506  
(212) 588-0800

WSF/yrp  
Enclosures

Based on Form PTO-1449 (3/90)				ATTY. DOCKET NO.  <b>450101-03067</b>		SERIAL NO.	
LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)				APPLICANT  <b>ISHII, et al.</b>			
				FILING DATE		GROUP	

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						

FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AK	2001-117972	04/27/01	Japan				
	AL	2001-092896	04/06/01	Japan				
	AM	2000-268111	09/29/00	Japan				
	AN	2000-306008	11/02/00	Japan				
	AO	2000-115163	04/21/00	Japan				
	AP	10-255002	09/25/98	Japan				
	AQ							
	AR							

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)			
	AS		
	AT		

EXAMINER	DATE CONSIDERED
----------	-----------------

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.